

# **CHAPTER 430**

## **PERFORMANCE MANAGEMENT**

### **APPENDIX A**

#### **ADDITIONAL PERFORMANCE REQUIREMENTS**

1. Specific provisions of law, regulation, and DOD policy require certain matters to be considered in the performance evaluations of some employees. Except as provided below, this does not require the establishment of specific performance elements and standards addressing the individual's performance. Rating officials may just consider these requirements in the performance rating or provide narrative evaluations of progress in meeting these requirements (e.g., in a statement on an appraisal form reserved for remarks).

#### **2. DOD Performance Evaluation Requirements**

a. *Audit follow-up.* Performance evaluations of appropriate managers must reflect the degree of effectiveness in addressing audit findings and recommendations and implementing agreed-upon corrective actions as required by Office of Management and Budget (OMB) Circular A-50, "Audit Follow-Up," September 29, 1982. This requirement applies to audits conducted by the General Accounting Office (GAO) and the DOD Inspector General. This requirement is established in paragraph E.3.g. of DOD Directive 7650.3, "Follow-Up on General Accounting Office, DOD Inspector General, Internal Audit, and Internal Review Reports," September 5, 1989.

b. *Regulatory Reinvention.* Performance measurements of persons who are front-line regulators, i.e., those who have authority to order a corrective action or levy a fine on a business or other government entity, must focus on results, not process and punishment. Therefore, such measures should not be based on process (e.g., number of visits to a business or government entity) or punishment (e.g., number of violations found, number of fines levied on a business or government entity). This requirement is established by a Presidential Memorandum for heads of federal departments and agencies, "Regulatory Reinvention Initiative," March 4, 1995.

c. *Protecting Classified Information.* Performance evaluations of all employees whose duties involve access to classified information must include a comment by rating officials pertaining to an employee's discharge of security responsibilities. This requirement is established in paragraph 9-102(d) of DOD 5200.2-R, "Personnel Security Program," January 1987.

d. *Classified Information Management.* The performance ratings of civilian employees who are original classification authorities, security managers or security specialists, or significantly involved in the creation or handling of classified information must include the management of classified information as a critical element or item to be

evaluated. This requirement is established in section 5.6.(c)(7) of Executive Order 12958, "Classified National Security Information," April 17, 1995.

e. *Safety*. Responsible DOD officials at each management level, including first level supervisors, must to the extent of their authority, comply with the DOD Occupational Safety and Health program guidance and regulations. Performance evaluations of those employees must reflect personal accountability in this respect, consistent with the duties of the position, with appropriate recognition of superior performance, and conversely, with corrective administrative action, as appropriate, for deficient performance. This requirement is established in enclosure 2 of DOD Instruction 6055.1, "DOD Occupational Safety and Health Program," October 26, 1984.

f. *Internal Management Control*. Performance evaluations of managers who have significant Internal Management Control (IMC) responsibilities must reflect the accountability for the success or failure of IMC practices. This requirement is established in paragraph E.3.d. of DOD Directive 5101.39, "Internal Management Control Program," April 14, 1987.

g. *Equal Employment Opportunity (EEO)*. Performance evaluations of supervisors, managers, and other personnel with EEO responsibility must have a critical element on EEO. This requirement is established in paragraph E.2.f. of DOD Directive 1440.1, "The DOD Equal Employment Opportunity (EEO) Program," May 21, 1987.

h. *Increased Competition and Cost Savings in Contracts*. Performance evaluations of officials involved in contracting and acquisition must give appropriate recognition to efforts to increase competition and achieve cost savings. This requirement is established in Section 2317 of Title 10, United States Code.

i. *Acquisitions*. Persons serving in acquisition positions in the same acquisition career field must be provided an opportunity for review and inclusion of any comments on any appraisal of the performance of a person serving in an acquisition position. This requirement is established in paragraph D.19 of DOD Directive 5000.52, "Defense Acquisition Education, Training, and Career Development Program," October 25, 1991.

j. *Inventory Management*. Performance evaluations of individuals employed at Inventory Control Points must give appropriate consideration to efforts made by these individuals to eliminate wasteful practices and achieve cost savings in the acquisition and management of inventory items. This requirement is established in section 2458 of Title 10, United States Code.